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EXAMINER

LAFORGIA, CHRISTIAN A

ART UNIT	PAPER NUMBER
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2131

DATE MAILED: 06/15/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No. 10/062,400	Applicant(s) MERKLE ET AL.	
	Examiner Christian La Forgia	Art Unit 2131	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 2 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 09 March 2006.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-32,34-87 and 89-112 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-32,34-87 and 89-112 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. The amendment of 09 March 2006 has been noted and made of record.
2. Claims 1-32, 34-87 and 89-112 have been resented for examination.
3. Claims 33 and 88 have been cancelled as per Applicant's request.

Information Disclosure Statement

4. The information disclosure statements (IDS) submitted after the mailing date of the first action on 07 September 2005. The submission is in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statements have been considered by the examiner.

Response to Arguments

5. Applicant's arguments, see pages 17-22, filed 09 March 2006, with respect to the application's priority have been fully considered and are persuasive. The denial of priority has been withdrawn.
6. Applicant's arguments filed 09 March 2006 have been fully considered but they are not persuasive.
7. As per the Applicant's arguments that Carson fails to disclose monitoring a transfer rate of read data from the media device to the computing device resulting from the reading of data stored on a digital medium at a physical location of the medium, wherein the transfer rate is a rate, in data elements per unit time, at which data elements are returned from the media device to the computing device in response to the requesting of the read operation, the Examiner disagrees. As cited in the previous action and noted by the Applicant's representative, Carson monitors the change in velocity of the read back system. According to column 2, lines 31-46 of U.S. Patent

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No. 6,958,960 to Sasaki, hereinafter Sasaki, the data read transfer rate is directly related to the rotational velocity of the information medium. In other words, the higher the rotation velocity, the higher the read rate, and the lower the rotation velocity, the lower the read rate.

8. Since the rotational velocity during a read back is directly related to the read transfer rate, Carson discloses monitoring a transfer rate of read data from the media device to the computing device resulting from the reading of data stored on a digital medium at a physical location of the medium, wherein the transfer rate is a rate, in data elements per unit time, at which data elements are returned from the media device to the computing device in response to the requesting of the read operation and the rejection is maintained.

9. As per the Applicant's arguments that Carson does not disclose determining at the computing device, from the monitored transfer rate, the presence of an anomaly region on the digital medium corresponding to the physical location of the data on the digital medium by identifying a modification in the transfer rate of the read data from the media device to the computing device, the Examiner disagrees. Carson discloses at column 9, lines 40-67, comparing the actual data rate with the expected data rate characteristics and detecting a velocity disruption zone.

10. Therefore, Carson discloses determining at the computing device, from the monitored transfer rate, the presence of an anomaly region on the digital medium corresponding to the physical location of the data on the digital medium by identifying a modification in the transfer rate of the read data from the media device to the computing device and the rejection is maintained.

11. See further rejections that follow.

Claim Rejections

12. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

13. Claims 1, 2, 4-11, 13, 14, 16-19, 21-28, 30, 32-36, 40-46, 56, 57, 59-66, 68, 69, 71-74, 76-83, 85, 87-91, 95-101, 111, and 112 are rejected under 35 U.S.C. 102(e) as being anticipated by U.S. Patent 6,477,124 to Carson, hereinafter Carson.

14. As per claims 1 and 56, Carson teaches authenticating a digital medium comprising:
requesting, at a computing device, a read operation of data from a media device (Figure 9, column 9, lines 14-50);

monitoring a transfer rate of read data from the media device to the computing device resulting from the reading of data stored on a digital medium at a physical location of the medium, wherein the transfer rate is a rate, in data elements per unit time, at which read data elements are returned from the media device to the computing device in response to the requesting of the read operation (Figure 3 [block 140], column 6, lines 52-55; column 8, lines 15-43, column 9, lines 14-50, claims 5 & 7, i.e. data transferred at a first rate, and changing the data rate when detecting a second data rate);

determining, at the computing device, from the monitored transfer rate, the presence of an anomaly region on the digital medium corresponding to the physical location of the data on the digital medium by identifying a modification in the transfer rate of the read data from the media device to the computing device (Figures 2 [blocks 136, 138], 4 [blocks 184, 186, 188], column 2, lines 40-67, column 5, lines 27-67, column 7, lines 7-26, i.e. a second data rate); and

authenticating the digital medium based on a characteristic of the anomaly region (Figure 9 [blocks 276, 278, 280, 284], column 8, lines 15-43, column 9, lines 14-50, i.e. data rate profile can be used for disc authentication purposes). According to column 2, lines 31-46 of U.S. Patent No. 6,958,960 to Sasaki, hereinafter Sasaki, the data read transfer rate is directly related to the rotational velocity of the information medium. In other words, the higher the rotation velocity, the higher the read rate, and the lower the rotation velocity, the lower the read rate.

15. Regarding claims 2 and 57, Carson teaches wherein the digital medium comprises an optical digital medium (column 1, lines 12-17).

16. Regarding claims 4 and 59, Carson discloses wherein monitoring comprises monitoring the transfer rate in real time, as the read data is read from the digital medium (column 4, lines 52-64, column 9, lines 31-50).

17. Regarding claims 5 and 60, Carson teaches wherein monitoring comprises monitoring the transfer rate following reading of the read data from the digital medium (column 4, lines 52-64, column 9, lines 31-50).

18. Regarding claims 6 and 61, Carson discloses estimating the monitored data transfer rate and determining the presence of the anomaly region based on the estimated data transfer rate (column 4, lines 52-64, column 6, lines 45-67).

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19. Regarding claims 7 and 62, Carson teaches wherein the anomaly region causes a modification in the transfer rate of the read data (column 5, lines 40-57, column 7, lines 27-57, column 8, lines 16-32, i.e. change in data rate).

20. With regards to claims 8 and 63, Carson discloses wherein the reading of the data is performed by a reading device and wherein the modification in the transfer rate results from the reading device automatically initiating multiple retries of reading the data due the presence of the anomaly region (column 2, lines 48-58, i.e. first data rate and second data rate cannot be accessed during same operation, but have to have separate operations).

21. With regards to claims 9 and 64, Carson teaches wherein the reading of the data is performed by a reading device and wherein the modification in the transfer rate results from the reading device automatically slowing down the reading the data due the presence of the anomaly region (Figure 9, column 5, lines 27-57, column 6, lines 45-55, column 9, lines 14-50).

22. Regarding claims 10 and 65, Carson teaches wherein the anomaly region is located at a predetermined location on the medium (Figures 8 [blocks 256, 260, 262], 9 [blocks 274, 276], column 8, lines 16-58, column 9, lines 3-50).

23. With regards to claim 11, 14, 66, and 69, Carson teaches wherein the predetermined location comprises an absolute address on the medium (Figure 9 [blocks 276, 278], column 9, lines 3-50).

24. Regarding claims 13 and 68, Carson teaches wherein the anomaly region is at a location on the medium that is analytically determined as a result of the step of determining the presence of the anomaly region (Figure 3 [block 140], column 6, lines 52-55; column 8, lines 15-32, claims 5 & 7, i.e. detecting a change in the data rate).

25. Regarding claims 16 and 71, Carson teaches wherein the anomaly region comprises a first anomaly region and further comprising:

determining, from the monitored transfer rate, the presence of a second anomaly region on the digital medium corresponding to a second physical location of second data on the digital medium (Figure 3 [block 140], column 6, lines 52-55; column 8, lines 15-32, claims 5 & 7, i.e. detecting a change in the data rate); and

wherein a relative location of the second anomaly region is determined relative to the location of first anomaly region (Figures 8 [blocks 256, 260, 262], 9 [blocks 274, 276], column 8, lines 16-58, column 9, lines 3-50).

26. With regards claims 17 and 72, Carson teaches wherein authenticating is further based on the determined relative location (column 8, lines 16-32).

27. With regards to claims 18 and 73, Carson discloses wherein the second anomaly region is located at a predetermined location on the medium (Figures 2 [blocks 136, 138], 4 [blocks 184, 186, 188], column 2, lines 40-67, column 5, lines 27-67, column 7, lines 7-47).

28. With regards to claims 19 and 74, Carson teaches wherein the second anomaly region is at a location on the medium that is analytically determined as a result of the step of determining the presence of the second anomaly region (Figures 2 [blocks 136, 138], 4 [blocks 184, 186, 188], column 2, lines 40-67, column 5, lines 27-67, column 7, lines 7-47).

29. Regarding claims 21 and 76, Carson teaches wherein the characteristic is the location of the anomaly region in the read data, and wherein if the location of the anomaly region in the read data matches the physical location of the anomaly region corresponding to the data, then the digital medium is determined as authentic (Figure 9 [blocks 278, 284], column 8, lines 15-43, column 9, lines 40-50).

30. With regards to claims 22 and 77, Carson discloses wherein if the location of the anomaly region in the read data does not match the physical location of the anomaly region corresponding to the data, then the digital medium is determined as non-authentic (Figure 9 [blocks 278, 282], column 8, lines 15-43, column 9, lines 40-50).

31. Regarding claims 23 and 78, Carson teaches controlling user access to the data on the digital medium based on whether the medium is authentic (figure 9 [blocks 282, 284], column 9, lines 40-50, i.e. grant/deny access).

32. With regards to claims 24 and 79, Carson discloses wherein controlling comprises one of allowing access, disallowing access, and limiting access to the data on the digital medium (Figure 9 [blocks 282, 284], column 9, lines 40-50, i.e. grant/deny access).

33. Regarding claims 25 and 80, Carson teaches wherein the determination of the presence of the anomaly region results from a difficulty in the reading of the read data by a reading device (Figures 2 [blocks 136, 138], 4 [blocks 184, 186, 188], 9, column 2, lines 40-67, column 5, lines 27-67, column 7, lines 7-26, column 9, lines 14-50).

34. Regarding claims 26 and 81, Carson discloses wherein the anomaly region comprises a physical alteration of the digital medium that results in the data corresponding to the anomaly region being readable at a transfer rate that is different than a standard transfer rate of data not corresponding to the anomaly region (column 4, lines 52-64, column 5, lines 27-57).

35. With regards to claims 27 and 82, Carson teaches wherein the physical alteration of the digital medium comprises a mechanical alteration (column 6, lines 45-67, i.e. change the rotational velocity of the disk).

36. With regards to claims 28 and 83, Carson discloses wherein the physical alteration of the digital medium comprises an optical alteration (column 4, lines 52-64, column 5, lines 27-57).

37. Regarding claims 30 and 85, Carson teaches wherein the steps for performing the authentication reside in software code that is previously stored on the digital medium, prior to authentication (Figures 8 [blocks 262], 9 [block 274], column 9, lines 3-30).

38. Regarding claims 32 and 87, Carson discloses wherein a known characteristic of the anomaly region is previously stored, prior to authentication, and wherein authenticating the digital medium based on a characteristic of the anomaly region comprises comparing the characteristic to the known characteristic (Figures 8 [block 262], 9 [blocks 274, 278], column 9, line 3-50).

39. With regards to claims 34 and 89, Carson discloses wherein the modification in the transfer rate comprises a reduction in the transfer rate and wherein the anomaly region is identified based on the extent of the reduction (column 7, lines 27-48).

40. With regards to claims 35 and 90, Carson teaches wherein the modification in the transfer rate comprises a reduction in the transfer rate to a resultant non-zero transfer rate (column 7, lines 27-48).

41. Concerning claims 36 and 91, Carson discloses wherein the resultant non-zero transfer rate results in a determination that the anomaly region is a genuine anomaly region (column 7, lines 27-48).

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42. With regards to claims 40 and 95, Carson teaches wherein the modification in the transfer rate comprises an increase in the transfer rate, and wherein the characteristic is determined based on the increase (column 5, lines 40-57).

43. With regards to claims 41 and 96, Carson discloses wherein the modification in the transfer rate comprises a response comprising an acceptable reduction in the data transfer rate followed by a sudden increase in the transfer rate to an increased transfer rate that is greater than a maximum transfer rate (column 4, line 52 to column 5, line 25).

44. Concerning claims 42 and 97, Carson teaches wherein the response indicates that an apparent anomaly region generated by an external source has been detected (column 8, lines 15-32, i.e. detecting lack of data rate change).

45. Concerning claims 43 and 98, Carson discloses filtering the apparent anomaly region such that authenticating is not based on the apparent anomaly region (column 7, lines 39-47, i.e. “decoy data”).

46. Regarding claims 44 and 99, Carson teaches wherein authenticating is based on a characteristic of multiple anomaly regions (Figure 9 [blocks 276, 278], column 9, lines 31-50).

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47. Regarding claims 45 and 100, Carson discloses wherein authenticating is based on multiple characteristics of the anomaly region (Figure 9 [blocks 276, 278], column 9, lines 31-50).

48. Regarding claims 46 and 101, Carson teaches wherein the anomaly characteristic comprises anomaly severity (column 9, lines 3-50).

49. Regarding claims 111 and 112, Carson discloses wherein the monitoring the transfer rate of read data from the media device to the computing device results from the reading of valid data stored on the digital medium (Figure 9, column 9, lines 14-50).

50. Claims 3, 29, 58, and 84 are rejected under 35 U.S.C. 103(a) as being unpatentable over Carson.

51. Regarding claims 3 and 58, Carson does not disclose wherein the digital medium comprises a magnetic digital medium.

52. It would have been obvious to one of ordinary skill in the art at the time the invention was made to record the digital medium on a magnetic digital medium, since Carson states at column 9, lines 51-67 that such a modification could be used for forensic tracking, thereby providing a means for preventing and tracking the pirating of data.

53. With regards to claims 29 and 84, Carson does not teach wherein the physical alteration of the digital medium comprises a magnetic alteration.

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54. It would have been obvious to one of ordinary skill in the art at the time the invention was made to magnetically alter the digital medium, since Carson states at column 9, lines 51-67 that such a modification could be used for forensic tracking, thereby providing a means for preventing and tracking the pirating of data.

55. Claims 12, 15, 20, 47, 67, 70, 75, and 102 are rejected under 35 U.S.C. 103(a) as being unpatentable over Carson in view of U.S. Patent No. 5,708,649 to Kamoto et al., hereinafter Kamoto.

56. Concerning claims 12, 15, 20, 47, 67, 70, 75, and 102, Carson does not teach wherein the absolute address represents an encoded data value.

57. Kamoto discloses wherein the absolute address represents an encoded data value (Figure 9, column 6, lines 16-64).

58. It would have been obvious to one of ordinary skill in the art at the time the invention was made for the absolute address to represent an encoded data value, since Kamoto states at column 6, lines 16-34 that such a modification would enable reproduction of a disk by scrambling and correcting the data using the encoding process.

59. Claims 31 and 86 are rejected under 35 U.S.C. 103(a) as being unpatentable over Carson in view of U.S. Patent No. 6,775,227 to Watanabe et al., hereinafter Watanabe.

60. Regarding claims 31 and 86, Carson does not disclose wherein the steps for performing the authentication reside in firmware that is stored in a media drive performing the authentication

or in a computing device controlling the media drive, or stored in firmware controlling the media drive, or stored remotely and provided to the media drive by a network connection.

61. Watanabe teaches wherein the steps for performing the authentication reside in firmware that is stored in a media drive performing the authentication or in a computing device controlling the media drive, or stored in firmware controlling the media drive, or stored remotely and provided to the media drive by a network connection (column 4, lines 28-34).

62. It would have been obvious to one of ordinary skill in the art at the time the invention was made to store authentication information in the reading/reproduction apparatus, since Watanabe states at column 4, lines 35-39 that such a modification would prohibit the use of disks that were reproduced through unauthorized copying, thereby preventing the pirating of software.

63. Claims 37-39 and 92-94 are rejected under 35 U.S.C. 103(a) as being unpatentable over Carson in view of U.S. Patent Application Publication No. 2002/0142248 to Dubois et al., hereinafter Dubois.

64. With regards to claims 37 and 92, Carson does not disclose wherein the modification in the transfer rate comprises a reduction in the transfer rate to a resultant zero transfer rate.

65. Dubois teaches wherein the modification in the transfer rate comprises a reduction in the transfer rate to a resultant zero transfer rate (paragraph [0076], i.e. temporarily unreadable).

66. It would have been obvious to one of ordinary skill in the art at the time the invention was made to have the transfer rate drop to zero for authentication purposes, since Dubois states

at paragraph [0077] that such a modification can be used to serve as a verification of the authenticity of the disk.

67. Concerning claims 38 and 93, Carson teaches wherein the resultant zero transfer rate results in a determination that the anomaly region is a false anomaly region (column 7, lines 27-47, i.e. “decoy data”).

68. Concerning claims 39 and 94, Carson teaches wherein the false anomaly region indicates that the digital medium is non-authentic (column 7, lines 27-47, column 8, lines 15-32).

69. Claims 48-55 and 103-110 are rejected under 35 U.S.C. 103(a) as being unpatentable over Carson in view of U.S. Patent 5,799,145 to Imai et al., hereinafter Imai.

70. Regarding claims 48 and 103, Carson does not disclose wherein the digital medium is read by a reading device, and wherein monitoring further comprises recording prior settings of the reading device prior to reading; and restoring the prior settings of the reading device following authenticating.

71. Imai teaches wherein the digital medium is read by a reading device, and wherein monitoring further comprises recording prior settings of the reading device prior to reading; and restoring the prior settings of the reading device following authenticating (column 1, lines 22-38).

72. It would have been obvious to one of ordinary skill in the art at the time the invention was made to reset the settings after reading from the device, since Imai discloses at column 1,

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lines 22-38 that such a modification would restore the authentication settings so that the data could not be accessed until the authentication process was carried out again, thereby protecting the data stored on the disk.

73. With regards to claims 49 and 104, Imai teaches wherein, following recording, the reading device is reset (column 1, lines 22-37).

74. Concerning claims 50 and 105, Imai discloses wherein following recording, a cache on the reading device is reset (column 1, lines 22-37).

75. With regards to claims 51 and 106, Imai discloses selecting a data block size for the reading device (Figure 1 [blocks 11-13], 3, column 4, lines 5-26).

76. With regards to claims 52 and 107, Carson and Imai do not teach disabling excessive retry attempts by the reading device.

77. It would have been obvious to one of ordinary skill in the art at the time the invention was made to disable excessive retry attempts by the reading device, since one of ordinary skill in the art clearly recognizes the need to prohibit what are known as brute force attacks, when would-be malicious users repeatedly try to break into a device by retrying and retrying.

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78. With regards to claims 53 and 108, Carson discloses reading locations of the digital medium known to be free of anomaly regions in order to archive a maximum transfer note (column 4, lines 52-64, column 6, lines 27-67).

79. With regards to claims 54 and 109, Carson discloses ceasing reading when an anomaly location has been encountered (Figure 9 [block 282], column 9, lines 40-50).

80. With regards to claims 55 and 110, Carson teaches storing the read data for statistical analysis (Figures 4-7, 9 [blocks 274, 276], column 8, lines 16-43).

Conclusion

81. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

82. The following patents are cited to further show the state of the art with respect to read transfer rates and media authentication, such as:

United States Patent No. 6,775,227 to Watanabe et al., which is cited to show optical disk authenticity checking based on a precision of a physical feature.

United States Patent No. 5,778,420 to Shitara et al., which is cited to show authenticating a medium by monitoring its read rate using buffers.

United States Patent No. 5,808,995 to Nakamura et al., which is cited to show disk information reading control having a variable read transfer speed.

United States Patent No. 6,366,969 to Hanson, which is cited to show determining a data transfer rate of a device by measuring the transfer rate of data between a virtual drive and the device.

83. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

84. A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.


85. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Christian La Forgia whose telephone number is (571) 272-3792. The examiner can normally be reached on Monday thru Thursday 7-5.

86. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh can be reached on (571) 272-3795. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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87. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

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